

# 3



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/872,796	06/01/2001	Craig L. Stevens	50544.00004 (NVLS 379)

CONFIRMATION NO. 4156

## FORMALITIES LETTER



\*OC000000006377557\*

Squire, Sanders & Dempsey L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304-1043

Date Mailed: 08/02/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

09/26/2001 BNGUYEN1 00000006 050150 09872796

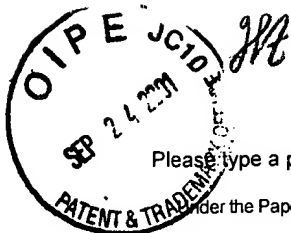
01 FC:105 130.00 CH

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

1. The undersigned hereby certifies that the information provided in the attached response is true and correct to the best of their knowledge and belief.



Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

section #

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/872,796
Filing Date	June 1, 2001
First Named Inventor	Craig L. Stevens
Group Art Unit	2812
Examiner Name	Unknown
Attorney Docket Number	50544.00004 (NVLS 379)

Total Number of Pages in This Submission

7

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input checked="" type="checkbox"/> Power of Attorney  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____  Remarks  	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <b>Signed Declaration for Utility or Design Patent Application (37 CFR 1.63); COPY of Notice to File Missing Parts of Nonprovisional Application; Acknowledgment Postcard</b>
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### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Squire, Sanders & Dempsey L.L.P. 600 Hansen Way, Palo Alto, CA 94304-1043 Attn: Aaron Wininger, Esq.
Signature	
Date	September 19, 2001

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text" value="September 19, 2001"/>			
Typed or printed name	Aaron Wininger, Reg. No. 45,229		
Signature		Date	September 19, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	09/872,796
Filing Date	June 1, 2001
First Named Inventor	Craig L. Stevens
Examiner Name	Unknown
Group / Art Unit	2812
Attorney Docket No.	50544.00004 (NVLS 379)

**TOTAL AMOUNT OF PAYMENT** (\$) 130**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

05-0150

Deposit  
Account  
Name

Squire, Sanders &amp; Dempsey L.L.P.

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17
- 
- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check    ☐ Credit card    ☐ Money  
Order    ☐ Other
**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)**

(\$ 0)

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid	
-20	0	X	0	
Independent Claims	-3	0	X	0
Multiple Dependent		X	0	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$ 130)

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)

Aaron Winingar

Registration No. Attorney/Agent)

45,229

Telephone

650.856.6500

Signature

Date

September 19, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Exhibit

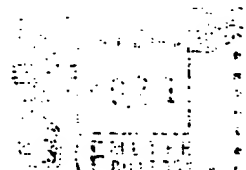
A

Date Mailed: September 19, 2001 | By: AW/cle | PTO DATE STAMP:  
Serial No.: 09/872,796 | Docket N : 50544.00004 (NVLS 379)  
Applicant(s): Craig L. Stevens  
Title: ARCHITECTURE FOR HIGH THROUGHPUT SEMICONDUCTOR PROCESSING APPLICATIONS

The following has been received in the U.S. Patent Office on the date stamped hereon:

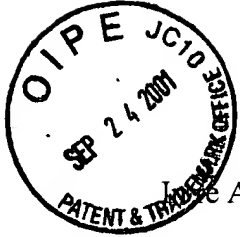
- |   |  |
|---|--|
| <input type="checkbox"/> Patent Application _ Pages _ Claims  | <input type="checkbox"/> Amendment   |
| <input type="checkbox"/> Drawings Formal _ Sheets   | <input type="checkbox"/> Petition for Extension of Time                        |
| <input type="checkbox"/> General Authorization / Request to Petition for Extensions of Time                   |  |
| <input checked="" type="checkbox"/> Signed Declaration and Signed Power of Attorney                           | <input checked="" type="checkbox"/> Transmittal Form                           |
| <input type="checkbox"/> Assignment & Recordation Cover Sheet   | <input checked="" type="checkbox"/> Fee Transmittal for FY 2001 (in duplicate) |
| <input type="checkbox"/> Verified Statement Claiming Small Entity Status                                      | <input type="checkbox"/> Appeal Brief (in triplicate)                          |
| <input type="checkbox"/> Continued Prosecution Application (§1.53(d))   | <input type="checkbox"/> Issue Fee Transmittal (in duplicate)                  |
| <input type="checkbox"/> Provisional Application _ Pages  | <input type="checkbox"/> Copy of PTO-1533, Notice to File Missing Parts        |
| <input type="checkbox"/> Design Application _ Pages _ Drawings  | <input type="checkbox"/> Info. Disclosure Statement & PTO-1449/Refs _          |
| <input type="checkbox"/> Status Letter  | <input type="checkbox"/> Request to Correct Filing Receipt                     |
| <input type="checkbox"/> Other:   | <input type="checkbox"/> Check No. for \$                                      |
| <input checked="" type="checkbox"/> Other: COPY of Notice to File Missing Parts of Nonprovisional Application |  |
| <input checked="" type="checkbox"/> Other: Response to Notice to File Missing Parts Under 37 C.F.R. 1.53(b)   |  |
| <input checked="" type="checkbox"/> Certificate(s) of First Class Mailing                                     |  |

U.S. DEPARTMENT OF COMMERCE  
PATENT/TRADEMARK OFFICE  
WASHINGTON, D.C. 20231



**Squire, Sanders & Dempsey L.L.P.**  
600 Hansen Way, Suite 100  
Palo Alto, CA 94304-1043





**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Examiner: Unknown

Craig L. Stevens, et al.

Serial No. 09/872,796

Art Unit: 2812

Filed: June 1, 2001

Title: ARCHITECTURE FOR HIGH THROUGHPUT SEMICONDUCTOR  
PROCESSING APPLICATIONS

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Commissioner for Patents  
Washington, DC 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION**

Dear Sir:

In response to the Notice to File Notice to File Missing Parts of Nonprovisional Papers mailed on May 25, 2001 in the above-identified application, enclosed herewith are the following:

- 1) Copy of Notice to File Missing Parts of Nonprovisional Application;
- 2) Declaration for Utility Patent Application, and Power of Attorney;
- 3) Transmittal Form; and
- 4) Fee Transmittal (in duplicate)

If the Examiner has any questions or needs additional information, the Examiner is invited to telephone the undersigned attorney at (650) 856-6500.

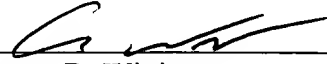
If for any reason an insufficient fee has been paid, please charge the insufficiency to Deposit Account No. 05-0150. A duplicate of this communication is enclosed.

Respectfully submitted,  
Craig L. Stevens, et al.

Date: September 19, 2001

SQUIRE, SANDERS & DEMPSEY L.L.P.  
600 Hansen Way  
Palo Alto, California 94304-1043  
Telephone: (650) 856-6500  
Facsimile: (650) 843.8777

By

  
Aaron R. Wininger  
Attorney for Applicant  
Reg. No. 45,229

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231, on

Date: September 19, 2001 By:

  
Aaron R. Wininger